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PTO/SB/29 (12/97)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	8449-128-999	Total Pages	88
First Named Inventor or Application Identifier			
Pramod K. Srivastava			
Express Mail Label No.	EL 501 634 697 US		

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form
Submit an original, and a duplicate for fee processing
2. ☒ Specification [Total Pages 88]
(86 pp+ 2 pp Table of Contents)
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description of the Invention (including drawings, if filed)
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 81]
4. ☒ Oath or Declaration [Total Sheets 2]
 - ☒ Newly executed (original or copy)
 - ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
 - i. ☐ DELETION OF INVENTORS(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. ☒ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☒ Computer Readable Copy
 - b. ☒ Paper Copy (identical to computer copy)
 - c. ☒ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☒ Small Entity ☐ Statement filed in prior application, Statements(2) Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other: Transmittal of Small Entity Statements

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:
☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No: 09/625,137 filed 7/25/00

18. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	20583 (Insert Customer No. or Attach bar code label here)	or <input type="checkbox"/> Correspondence address below
NAME		
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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

The PTO did not receive the following listed item(s): Post Card

PENNIE & EDMONDS LLP
 COUNSELLORS AT LAW
 1155 Avenue of the Americas
 New York, N.Y. 10036-2711
 (212) 790-9090

ATTORNEY DOCKET NO. 8449-128-999Date: September 22, 2000

Assistant Commissioner for Patents
 Box PATENT APPLICATION
 Washington, D.C. 20231

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Pramod K. SrivastavaExecuted on: September 20, 2000Title of Invention: ALPHA (2) MACROGLOBULIN RECEPTOR AS A HEAT SHOCK PROTEIN RECEPTOR AND USES THEREOF**PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	83	-20	63	\$18.00 each	\$ 1,134.00
Independent	26	-3	23	\$78.00 each	\$ 1,794.00
Minimum Fee					\$ 690.00
Multiple Dependency Fee If Applicable (\$260.00)					\$ 260.00
Total					\$ 3,878.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern (a verified statement as to the applicant's status is attached)					- \$ 1,939.00
Total Filing Fee					\$ 1,939.00

- ☐ Priority of application no. filed on in is claimed under 35 U.S.C. § 119.
☐ The certified copy of the priority application has been filed in application no. filed

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

Adriane M. Antler
 Adriane M. Antler

PENNIE & EDMONDS LLP

32,605

(Reg. No.)

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Pramod K. Srivastava

Application No.: To be assigned

Group Art Unit: Not yet assigned

Filed: On even date herewith

Examiner: Not yet assigned

For: ALPHA (2) MACROGLOBULIN RECEPTOR AS A
HEAT SHOCK PROTEIN RECEPTOR AND USES
THEREOF

Attorney Docket No.: 8449-128-999

**TRANSMITTAL OF VERIFIED STATEMENTS AND
REQUEST TO ESTABLISH SMALL ENTITY STATUS**

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The Applicant submits herewith the following documents for the above-mentioned application: (1) a Verified Statement Claiming Small Entity Status for the University of Connecticut Health Center; and (2) a Verified Statement Claiming Small Entity Status for Antigenics, LLC.

The Applicant has assigned his entire right, title and interest in the instant application to the University of Connecticut Health Center. The University of Connecticut Health Center has granted certain rights in the application to Antigenics, LLC. The University of Connecticut qualifies as a Small Entity under 37 C.F.R. §§ 1.9(f) and 1.27(d). Antigenics, LLC qualifies as a Small Entity under 37 C.F.R. §§ 1.9(f) and 1.27(c).

It is respectfully requested that the application be accorded Small Entity Status in accordance with 37 C.F.R. §§ 1.9(f), 1.27(c) and 1.27(d). Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A duplicate of this sheet is enclosed for accounting purposes.

Respectfully submitted,

by Eileen E. Falvey 46,097
Adriane M. Antler Reg No.
Adriane M. Antler 32,605
PENNIE & EDMONDS LLP (Reg. No.)
1155 Avenue of the Americas
New York, New York 10036-2711
(212) 790-9090

Date: September 22, 2000

Enclosures

EXPRESS MAIL NO.: EL 501 634 697 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Pramod K. Srivastava

Application No.: To be assigned

Group Art Unit: To be assigned

Filed: On even date herewith

Examiner: To be assigned

For: ALPHA (2) MACROGLOBULIN RECEPTOR
AS A HEAT SHOCK PROTEIN RECEPTOR
AND USES THEREOF

Attorney Docket No.: 8449-128-999



TRANSMITTAL OF SEQUENCE LISTING UNDER 37 C.F.R. § 1.821

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with 37 C.F.R. § 1.821, Applicant submits herewith a Sequence Listing in paper and computer-readable form pursuant to 37 C.F.R. §§ 1.821(c) and (e).

I hereby state that the content of the paper and computer-readable copies of the Sequence Listing, submitted in accordance with 37 C.F.R. §§ 1.821(c) and (e), respectively, are the same.

Respectfully submitted,

by Eileen E. Fahney 46,097
Reg. No.

Adriane M. Antler

32,605

Adriane M. Antler

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Date: September 22, 2000

Enclosure